



Please type a plus sign (+) inside this box → ☐

**DECLARATION FOR UTILITY OR
DESIGN PATENT APPLICATION**
(37 CFR 1.63)

Attorney Docket Number: J99.10
First Named Inventor: David W. LaFore

☒ Declaration Submitted with Initial Filing
☐ Declaration Submitted after Initial Filing (surcharge [37 CFR 1.16(e)] required)

Application Number: 09/497,272 **COMPLETE IF KNOWN**
Filing Date: 2/3/00
Group Art Unit: _____
Examiner Name: _____

As a below named inventor, I hereby declare that:
My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
"Data Processing System and Method for Managing Broker Transaction Information"
the specification of which

☒ is attached hereto
OR

☐ was filed on (MM/DD/YY) _____ as United States Application Number or PCT International Application Number _____ as was amended on (MM/DD/YY) _____ (if applicable).

I hereby stated that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or Inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or Inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)			Certified Copy Attached ?		
			Priority Not Claimed	Yes	No
_____ (Number)	_____ (Country)	_____ (Foreign Filing Date)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached.

I hereby claim the benefit under 35 U.S.C. 119(e) of the United States provisional application(s) listed below.

_____ (Application Number)	_____ (Filing Date)	<input type="checkbox"/> Additional provisional application numbers are listed on supplemental priority data sheet PTO/SB/02B attached hereto.
_____ (Application Number)	_____ (Filing Date)	

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application or PCT
Parent Number

Parent Filing Date

Parent Patent Number
(if applicable)

U.S. Parent Application or PCT
Parent Number

Parent Filing Date

Parent Patent Number
(if applicable)

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached.

As named inventor, I hereby appoint the following practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☒ Registered Practitioner(s) name/registration number listed below

Name

Registration Number

Gary D. Fields

19,604

Brent P. Johnson

38,031

☐ Additional registered practitioner(s) named on Supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: Fields & Johnson, P.C.

8480 East Orchard Road, Suite 5600, Englewood, CO 80111

Country: U.S.A. Telephone: (303) 689-9100 Fax: (303) 689-9250

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) David W.

Family Name or Surname LaFore

Inventor's signature David LaFore

Date 02/01/2000

Residence 8963 West Phillips Drive, Littleton, CO 80128 Citizenship U.S.A.

Post Office Address 8963 West Phillips Drive, Littleton, CO 80128

City, State, Zip, Country Littleton, CO 80128 U.S.A.

Full name of second joint inventor, if any (given name, family name) Kyle L. Brennan

Second Inventor's signature Kyle L. Brennan

Date 2/01/2000

Residence 7286 South Chapparral Circle East, Aurora, CO 80016 Citizenship U.S.A.

Post Office Address 7286 South Chapparral Circle East, Aurora, CO 80016

City, State, Zip, Country Aurora, CO 80016 U.S.A.

☐ Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.